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<b>INFORMATION DISCLOSURE TRANSMITTAL</b>		Docket No. G0008/7003
Applicant:	Raymond E. Ozzie, Kenneth G. Moore, Ransom L. Richardson and Edward J. Fischer	
Serial No:	09/588,195	
Filed:	June 6, 2000	
For:	METHOD AND APPARATUS FOR EFFICIENT MANAGEMENT OF XML DOCUMENTS	
Examiner:	Not Yet Assigned	
Art Unit:	2786	

<p align="center">CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)</p> <p>The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on August 27, 2003.</p> <p align="right"><i>Jan L. Mellen</i> Jan L. Mellen</p>
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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In keeping with the duty of candor and good faith owed to the Patent and Trademark Office, Applicant wishes to bring information to the attention of the Examiner. The filing of this statement shall not be construed as a representation that a search has been made or as an admission that this information is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

**Enclosures**

- ☒ A form PTO-1449 listing this information is attached
- ☒ A copy of each document cited is enclosed.
- ☐ Copies of the cited documents are not enclosed because

**Fees**

- ☐ This statement is filed before the later of (1) three months of (i) the filing of a national application or (ii) the entry date for the national stage of an international application or (2) the mailing date of a first office action on the merits. No fee is due.
- ☒ This statement is filed before the mailing date of a final office action, a notice of allowance or an action that otherwise closes prosecution, *and*
  - ☐ The submission fee of \$180.00 under 37 CFR §1.17(p) is enclosed, *or*
  - ☒ The following certification is made:
    - ☒ each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement, *or*

- ☐ no item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.
- ☐ This statement is filed on or before payment of the issue fee, the submission fee of \$180.00 under 37 CFR §1.17(p) is enclosed, *and*
- ☐ each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement, or
- ☐ no item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.


**Payment**

- ☐ A check in the amount of the submission fee is enclosed.
- ☐ Charge Account No. 02-3038 in the amount of the submission fee. A duplicate of this transmittal sheet is attached.

**Authorization to Charge Additional Fees**

- ☒ The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §1.16 and §1.17 required by the attached paper and during the entire pendency of this application to Account No. 02-3038.

Respectfully submitted,



Date: 8/27/03

Paul E. Kudirka, Esq. Reg. No. 26,931  
KUDIRKA & JOBSE, LLP  
Customer Number 021127  
Tel: (617) 367-4600 Fax: (617) 367-4656

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT Sheet 1 of 1</b>		Docket No. G0008/7003
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U.S. PATENT DOCUMENTS					
Exam Inits	Cite No.	Patent Number	Kind Code	Patentee or Applicant Name	Issue Date
MK		6,012,098	A	Bayeh, et al.	1/2000
		6,061,697	A	Nakao	5/2000

FOREIGN PATENT DOCUMENTS							
Exam Inits	Cite No.	Cy	Number	Kind Code	Patentee or Applicant Name	Publication Date	T
		EP	0 987 636	A2	Xerox Corporation	3/22/2000	<input type="checkbox"/>
							<input type="checkbox"/>

OTHER PRIOR ART – NON PATENT LITERATURE AND DOCUMENTS			
Exam Inits	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the articles (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
MK		TSENG, Frank S.C., et al, "An Automatic Navigation Scheme for XML Documents Through Object-Relational Repository", Proceedings 2000, Fourth International Conference on Brighton, UK, 830-9/1/00, Pages 428-431.	<input type="checkbox"/>
MK		SHIRMUA, Takeyuki, et al., "Storage and Retrieval of XML Documents Using Object-Relational Database", Database & Expert Systems Applications, vol. 1677, pages 206-217.	<input type="checkbox"/>
		ARNOLD-MOORE, Tim, et al., "Architecture of a Content Management Server for XML Document Applications", Web Informations Systems, Engineering, 2000, Proceedings of the First International Conference on Hong Kong, China, 6/19-21/00, Los Alamitos, CA, pages 97-108.	<input type="checkbox"/>
		BALL, Steve, "XML Support for TCL", Proceedings of the Annual TCL/TK Conference. Proceedings of Usenix Annual TCL/TK, 1998, pages 109-119.	<input type="checkbox"/>
			<input type="checkbox"/>

Examiner Signature		Date Considered	
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